



NPDB-HIPDB



DATA BANK NEWS



National Practitioner Data Bank—Healthcare Integrity and Protection Data Bank

OCTOBER 2004

New Subject Database Import Features!

Beginning on November 15, 2004, the Integrated Querying and Reporting Service (IQRS) will offer enhanced subject database import functionality. These enhancements will:

- Provide users with detailed information on what occurs during an import of information into the entity's IQRS subject database. It will explain what subjects were "complete" or "incomplete" and the reasons for incomplete subjects.
- Allow users to cancel the import after it is initiated. Users will have the opportunity to see how the import file will be processed, and then can choose to submit or cancel the import.
- Display a high-level summary of the subject database imports performed within the last 30 days.
- Offer users the option of importing subject data in an Extensible Markup Language (XML) file format (in addition to the existing fixed-width

file format). Previously, only the fixed-width format was supported.

- Give users the ability to update and delete subject data imported into the subject database (previously, only additions were supported). **Note:** Updates and deletions are possible only when importing an XML-format file.
- Permit users to import organization subjects. Previously, only individual subject imports were accepted. **Note:** Organization subject imports are possible only when importing an XML-format file.
- Introduce a new Subject ID# field for the entity's personal use. This field refers to an identifying number chosen by the entity to help track subjects during the import process. **Note:** The Subject ID# field only pertains to importing an XML-format file.

WHY WOULD I USE THE SUBJECT DATABASE IMPORT FUNCTION?

If you wish to add a large number of subjects into your entity's IQRS subject

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database, you can import this data into your database using the import functionality. However, files must be submitted in fixed-width or XML file format.

WHAT IS THE DIFFERENCE BETWEEN XML AND FIXED-WIDTH FILE FORMAT?

XML import file format offers several advantages over the fixed-width file format. When importing information using the fixed-width format, you can only add individual subjects to your

See New Subject Database Import Features! on page 2

Data Banks Participate in NAMSS Conference

The 28th National Association Medical Staff Services (NAMSS) Conference occurred on September 19-22, 2004, in Miami Beach, FL. The conference featured educational presentations and an exhibition hall. The NPDB-HIPDB participated in the conference with a presentation entitled "NPDB-HIPDB: Using the Data Banks as a Tool to Help Stop Rogue

Practitioners." This presentation highlighted the use of the Data Banks for promoting patient safety and focused on the similarities and differences between the NPDB and HIPDB. Recent and future enhancements to the IQRS also were discussed. In addition, the NPDB-HIPDB displayed an information booth in the exhibition hall at the conference. ¶

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subject database. Importing information using XML allows you to add, update, and delete individual and organization subjects. For more information on the formats, see the *Fact Sheet on Importing XML-Format Subject Data into the IQRS* and the *Fact Sheet on Importing Fixed-Width Format Subject Data into the IQRS*, located at www.npdb-hipdb.com/factsheet.html. To view samples of XML and fixed-width file structures, please see www.npdb-hipdb.com/iqrsSubjectDatabase.html. The fact sheets and web site will be available mid-November.

To import subject information into your IQRS subject database in November, follow the step-by-step instructions provided here.

1. Log in to the IQRS and click **Continue** on the *Entity Registration Confirmation* screen. Select **Maintain Subject Database** on the *Options* screen.

2. On the *Maintain Subject Database* screen, select **Import File**.
3. On the *Import Subject Information* screen, select the appropriate radio button for your import file's format (XML or Fixed-Width). Enter the full name and path of your import file under Import File Name: (or you may click **Browse...** to locate your import file). **Note:** On this screen, specify what you want to do with the existing subject(s), if any, stored in your subject database. You may choose either to keep or remove the existing subjects in your subject database during this import. If you are using the fixed-width format, you must also choose how to process subjects that are determined to be potential duplicates of subjects already stored in your subject database. Your choices are to store potential duplicate subjects, ignore (do not store) potential duplicate subjects, or review potential duplicate subjects. Finally, select **Import File**.

4. The *Interim Import Status* screen (Figure 1) displays a summary of how your import data will be processed, highlighting subjects that are flagged as conflicts. Conflicts are subjects that the Data Banks cannot process because of potential problems with subjects in your existing IQRS subject database. You may resolve the conflicts immediately after the subjects are imported or within 30 days of the import.

The *Interim Import Status* screen contains the following fields:

- Total subjects in import file indicates the number of subjects in your file.
- Individual Subject Additions lists all subjects that you are adding in your import file, noting whether they will be successfully processed. You must resolve the subjects that are flagged as conflicts before these subjects can be successfully processed. When adding a subject to your subject database, a conflict occurs when one or more subjects in your subject database match the subject that you wish to add.
- Individual Subject Updates (XML format only) lists all subjects that you are updating in your import file, noting whether they will be successfully processed. When updating a subject in your subject database, a conflict occurs when more than one subject in your IQRS subject database matches the subject that you wish to update or when the subject you wish to update does not exist in your subject database.
- Individual Subject Deletions (XML format only) lists all subjects in your import file, noting whether they will be successfully processed. When deleting a subject from your subject database, a conflict occurs when more than one subject in your subject database matches the subject that you wish to delete.

INTERIM IMPORT STATUS

National Practitioner Data Bank
Healthcare Integrity and Protection Data Bank

A summary of your import data is provided below. Click the link on each category title to view subjects in that category. Click **Submit to Data Bank(s)** to process this import file, or click **Cancel Import** to select a different file to process.

Note: The system found conflicts with the 2 subject(s) listed below. If you choose to process this import file, you will be given a chance to resolve these conflicts after submission.

Total subjects in import file:	10
Individual Subject Additions:	10
Complete subjects:	7
Incomplete subjects:	1
Conflicts (not processed):	2
Invalid subjects (not processed):	0
Validation Issues:	
Validation Warnings:	5

[Show All Details](#)

Submit to Data Bank(s) **Cancel Import**

Figure 1. Users can review import summary information on the *Interim Import Status* screen prior to finalizing the import. **Note:** This screen pertains to the fixed-width format.

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- **Validation Issues.** Subjects with validation warnings will be successfully imported into your subject database, but may be stored as incomplete. The Validation Warnings link indicates why a subject is incomplete and/or notes that a subject data element exceeds the acceptable length and was truncated. Validation warnings may be printed so that you can evaluate the data before resolving the conflict.
 - **Technical Validation Warnings** (XML format only) are displayed if the XML import file does not satisfy the specified XML schema specifications. To view the XML schema, see www.npdb-hipdb.com/iqrsSubjectDatabase.html. The web site will be available mid-November. Technical Validation Warnings indicate that the XML Validator has a problem with the structure or data in the XML import file. This message is intended for the technical creator of the XML file.
 - Links to Show (All) Details/Hide (All) Details enable the user to view all information pertaining to each section (showing details) or just a summary of the information for each section (hiding details).
5. After reviewing the *Interim Import Status* screen, click **Submit to Data Bank(s)** to proceed with your import. If you do not wish to process the import, click **Cancel Import**.
 6. After proceeding with the import, the *Import Summary* screen displays the completed import, noting whether the file contains unresolved conflicts. To resolve conflicts, click **Resolve Subject Conflicts**. If you wish to resolve conflicts at a later time (up to 30 days after the import), click **Return to Options**. If conflicts are not resolved within 30 days, the unresolved subject conflicts will be removed from the system. **Note:** You must resolve all unresolved conflicts in order for these subjects to be successfully processed by the Data Banks.

For more information on the November subject database import functionality, please see www.npdb-hipdb.com/iqrsSubjectDatabase.html. The web site will be available mid-November. ¶

Dear Data Banks...

This column answers questions you may have about Data Bank policy and procedures. If you have a question about how the Data Banks work, please write to Dear Data Banks at P.O. Box 10832, Chantilly, VA 20153-0832 or e-mail your question to Dear Data Banks at npdb-hipdb@sra.com. We look forward to hearing from you!

Question: Regarding my IQRS subject database, what is the difference between the **Delete** and **Delete All** options on the *Maintain Individual Subject (or Organization Subject)* screen?

Answer: Choose **Delete** if you wish to **permanently delete the specific subjects that you have highlighted** on the *Maintain Individual (or Organization) Subject* screen. Choose **Delete All** only if you wish to **delete all of the subjects in the list box on the *Maintain Individual (or Organization) Subject* screen (whether highlighted or not). Please use caution when deleting subjects from your IQRS subject database.**

Question: A practitioner was convicted of tax evasion on his personal income taxes and subsequently had his license to practice suspended. Should this adverse action be reported to the HIPDB?

Answer: The practitioner's license suspension is reportable to the HIPDB. However, the conviction for tax evasion is **not** reportable to the Data Banks.

Question: A physician does not know that she is under investigation for possible professional incompetence and resigns from a hospital. Is the physician's resignation reportable to the NPDB?

Answer: Yes. Regardless of whether the practitioner was aware that an investigation was being conducted, a practitioner's resignation or surrender of privileges must be reported if the practitioner was under investigation at the time of the resignation or surrender. The reporting entity must be able to produce evidence that an investigation was ongoing at the time of the resignation or surrender to support the report if the practitioner challenges it. In addition, resignations and surrenders must be reported in situations in which the practitioner resigns or surrenders privileges after being notified that an investigation will be conducted but before the investigation actually begins.

Question: A podiatrist is applying for clinical privileges at a hospital. Is the hospital required to query the NPDB?

Answer: Yes. Hospitals must query at the time a physician, dentist, or other practitioner applies for a position on its medical staff or for clinical privileges, as well as every two years thereafter on those holding clinical privileges and medical staff membership.

If you have an urgent question, please call the Customer Service Center at 1-800-767-6732. Information Specialists are available to speak with you weekdays from 8:30 a.m. to 6:00 p.m. (5:30 p.m. on Fridays) Eastern Time. The Customer Service Center is closed on all Federal holidays. ¶

Importance of Viewing Data Bank Correspondence

The Integrated Querying and Reporting Service (IQRS) Data Bank Correspondence feature allows the Data Banks to communicate important time-sensitive and entity-specific messages to users and entity administrators. Each time you log in to the IQRS, check the *Entity (or Agent) Registration Confirmation* screen (Figure 2) to see if you have new Data Bank Correspondence.

Examples of Data Bank Correspondence include:

- Notification to the entity administrator that a credit card that is stored in the IQRS is about to expire.
- Confirmation that an entity's Electronic Funds Transfer (EFT) account is established.



Figure 2. On the Entity Registration Confirmation screen, you will be notified of new correspondence. To access correspondence, click **Administrator Options**.

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Helpful Hints From

A NOTE ABOUT SELF-QUERIES

All self-queries are initiated on-line through the NPDB-HIPDB web site, located at www.npdb-hipdb.com, but must be printed out, signed, notarized and mailed to the Data Banks at P.O. Box 10832, Chantilly, VA, 20153-0832 for processing. Overnight express mail may be sent to 4094 Majestic Lane, PMB-352, Fairfax, VA, 22033. The Data Banks process notarized self-query applications within two business days of receipt and send the response to the subject by regular U.S. mail. Self-query responses can be sent only to the subject of the self-query. Self-query responses cannot be sent directly to a State licensing board or any other third party.

SAVE TIME WHEN YOU SUBMIT QUERIES AND REPORTS!

To speed up your submission of queries and reports, save the following information on the *User Account Information* screen.

- Name
- Title
- Telephone Number

Be sure to click **Save** on the *User Account Information* screen after completing the Name, Title, and Telephone Number fields. Saving this information will ensure that the correct information will automatically populate the Certification section of the *Query Input* and *Report Input* screens when you submit queries and reports.

MORE THAN ONE SSN ON FILE FOR THE SUBJECT OF A QUERY?

Please be sure to include multiple Social Security Numbers and Other Names Used, if applicable, in order to provide complete information when filling out a *Query Input* form.

SCROLL DOWN TO VIEW ALL QUERY RESPONSES

When retrieving query responses from the IQRS, remember that they may not appear in the exact order in which you submitted them. Be sure to scroll down through all query responses on-screen if you do not immediately see your response.

*Importance of Viewing Data Bank
Correspondence continued from page 4*

- Information about new IQRS features.
- Notification to an entity that another organization has requested them to act as their authorized agent; and notification to the requesting organization when the entity accepts the agent designation.
- Confirmation that an entity's registration renewal or entity update has been processed.
- Notification of scheduled system downtimes.

Once opened, messages remain in Data Bank Correspondence for 30 days, then they are automatically deleted. After logging in to the IQRS, if you see new Data Bank Correspondence, please take a moment to view your messages before performing your IQRS transaction(s). ¶

Query Response Unveils New Look

This November, Integrated Querying and Reporting Service (IQRS) users will notice a shortened, more concise document when they retrieve query responses. The query response has been consolidated from three pages to one page for subjects with **no** reports in the Data Bank(s) (the response **may** be longer for subjects with a large amount of identifying data [e.g., ten licenses]). This improvement is being implemented as a result of suggestions obtained at recent IQRS user meetings. When a subject has reports stored in the Data Bank(s), a copy of the reports will be included in the query response document. ¶

The Data Banks

IS IT REPORTABLE TO THE HIPDB?

In addition to all other reportable actions, any loss of licensure or certification is reportable to the HIPDB whether by operation of law (as stated in Section 1128E of the *Social Security Act*), voluntary surrender, non-renewal (excluding non-renewals due to nonpayment of fees, retirement, or change to inactive status), or other reason. For more information on reporting requirements for both Data Banks, see *Reporting Within Required Timeframes - Are You Doing It?* on page 6 of this newsletter. Also see the NPDB and HIPDB Guidebooks, which are available for viewing and printing at www.npdb-hipdb.com/npdbguidebook.html and www.npdb-hipdb.com/hipdbguidebook.html, respectively.

WHEN SHOULD YOU USE VOID, CORRECTION, OR REVISION TO ACTION?

1. If your entity has submitted a report on the wrong subject:

- Submit a Void to remove the incorrect report.
- Submit a new Initial Report for the correct subject.

2. If your entity has made an error or omission in the report, submit a Correction Report to replace the incorrect version of the report.
3. If your entity has taken a new action that modifies a previous action, such as, a) further sanctions have been taken based on a previously reported action; b) the length of action has been extended or reduced; c) the original indefinite suspension or probationary period has ended, and licensure, clinical privileges, professional society membership, or program participation has been reinstated, submit a Revision to Action Report. Do not submit a Revision to Action Report when a suspension or probation previously reported as having a fixed length is ended at the end of the fixed period. (Note: Unlike a Void or Correction Report, a Revision to Action Report is an addendum to the original report. It does not replace it.) ¶

Reporting Within Required Timeframes - Are You Doing It?

NPDB-HIPDB Data Bank News would like to remind all entities how important it is to report to the NPDB-HIPDB in a timely manner. Late reporting not only violates Federal law, but also makes it impossible for the Data Banks to provide accurate and timely information to Data Bank users, potentially

compromising the effectiveness of the flagging system. Hospitals, managed care organizations, State medical and dental boards, and other health care organizations all depend on the timely information that you send promptly to the Data Banks.

The Health Care Quality Improvement Act of 1986, the Health Insurance Portability and

Accountability Act of 1996, and subsequent regulations mandate that all reports to the National Practitioner Data Bank (NPDB) and the Healthcare Integrity and Protection Data Bank (HIPDB) be filed within a specific timeframe.

Please see Table 1, entitled "NPDB Reporting Requirements,"

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NPDB REPORTING REQUIREMENTS

ENTITY	TYPE OF ACTION	REPORT TO:	TIMEFRAME
Medical Malpractice Payers	Payment of malpractice claim.	NPDB, with a copy to the appropriate State licensing board	Within 30 days of payment
State Licensing Boards	Licensure disciplinary action based on reasons related to professional competence or conduct.	NPDB	Within 30 days of action
Hospitals and Other Health Care Entities	Professional review action, based on reasons related to professional competence or conduct, adversely affecting clinical privileges for a period longer than 30 days; or voluntary surrender or restriction of clinical privileges while under, or to avoid, investigation.	NPDB, with a copy to the appropriate State licensing board	Within 15 days of action
Professional Societies	Professional review action, based on reasons relating to professional competence or conduct, adversely affecting membership.	NPDB, with a copy to the appropriate State licensing board	Within 15 days of action

Table 1. NPDB Reporting Requirements outlines the specific types of actions reported to the NPDB and the timeframes for which they must be reported.

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for the specific NPDB reporting deadlines. Figure 3, entitled "HIPDB Reporting Requirements: Actions and Timeframes," outlines the timeframes for various actions specific to the HIPDB. Table 1 and

Figure 3 are adapted from the NPDB and HIPDB Guidebooks, which are each available for viewing and printing at www.npdb-hipdb.com/npdbguidebook.html and www.npdb-hipdb.com/hipdbguidebook.html, respectively.

We strongly recommend that all entity users view and print the two Guidebooks from the web site.

For further information on the Data Banks, visit the NPDB-HIPDB web site home page, located at www.npdb-hipdb.com. ¶

HIPDB REPORTING REQUIREMENTS: ACTIONS AND TIMEFRAMES

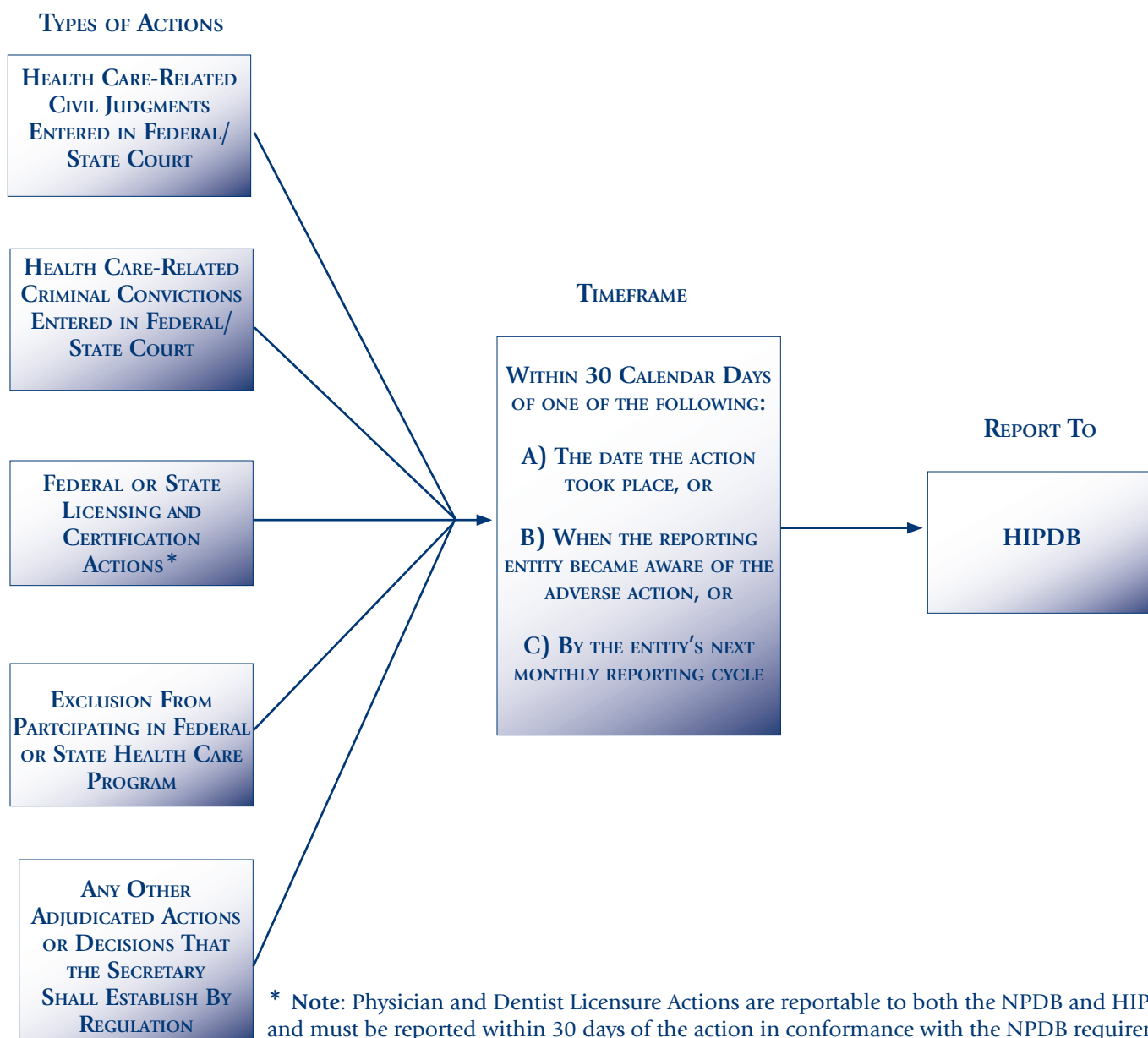


Figure 3. HIPDB Reporting Requirements: Actions and Timeframes illustrates the various types of actions that are reportable to the HIPDB and the timeframes for which they must be reported.

On the Horizon

COMING TO THE DATA BANKS: THE QUERYING AND REPORTING XML SERVICE (QRXS)

On January 31, 2005, the Data Banks anticipate the debut of the Extensible Markup Language (XML)-based reporting and querying interface. This new interface will be called the Querying and Reporting XML Service (QRXS). The QRXS will improve the exchange of data between users by providing an industry standard format for query and report data exchange. **Note:** Initially, the QRXS will allow for submission of Adverse Action Reports only. Querying and submission of Medical Malpractice Payment Reports and Judgment or Conviction Reports are scheduled as future enhancements. Please look for more information on the QRXS in upcoming issues of *NPDB-HIPDB Data Bank News*.

UPCOMING DATA BANK MEETINGS

The next Integrated Querying and Reporting Service (IQRS) User Review Panel (URP) meeting is scheduled for October 19, 2004, in Fairfax, VA. The next NPDB Executive Committee meeting will take place on November 16, 2004, in Arlington, VA. A summary of the meetings and any resulting actions will appear in the next issue of *NPDB-HIPDB Data Bank News*.[†]

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